

Template V: Inventory Archive System

Instructions

An archiving system is an inexpensive yet critical step in the sustainability of the National Inventory System because it serves as a starting point for future inventory teams.

The CD-ROM accompanying this handbook contains two versions of the templates. The first is the electronic version of this document with all sample text and instructions included in light green. The second version, without the light green text, is the one in which countries should enter country-specific data, and which they should use for preparing final reports. In the final plan, all green text should be deleted.

Step-by-step instructions are listed above. Each step is explained in detail in the corresponding section of the template.

- | | |
|---------|---|
| STEP 1: | Existing Archiving Program Description and Procedures |
| STEP 2: | Proposed Improvements to the Archive System |

Inventory Archive System

Background

Archives refers to a collection of records, as well as to the location where these records are kept. Archives consist of records that have been created during the development of the inventory (references, methodological choice, expert comments, revisions, etc.). A critical component of the inventory development process is the appropriate and systematic archiving of all documents related to the compilation of the inventory. The Archive System is important for sustaining the National Inventory System because the national inventory must be transparent and reproducible. The Archive System is the foundation for development of subsequent inventories by future inventory staff or source leads (individuals responsible for developing estimates within a particular sector such as energy or waste).

All information used to create the inventory should be archived in a single location through electronic and/or paper storage. A new inventory manager should be able to reference any relevant files in order to respond to public and/or expert inquiry, and to answer questions about methodologies. Each new inventory year will benefit from effective data and document management of the previous inventory. Archived information should include all disaggregated emission factors, activity data, and documentation of how these factors and data have been generated and aggregated for the preparation of the inventory. This information should also include internal documentation on QA/QC procedures, external and internal reviews, documentation of annual key sources and key source identification, and planned inventory improvements. If possible, a copy of all archive documents should be kept in another location to reduce the risk of losing all records due to theft or disaster (e.g., fire, earthquake, or flooding).

V.1 Existing Archiving Program Description and Procedures

[INSTRUCTIONS: Describe any archiving procedures from the first inventory, as well as those currently in place. These procedures may include:

Previous Inventory:

- *What documents and files are available from the first inventory?*
 - *Where are they located? Were they stored electronically or in hardcopy?*
 - *Who has access?*
 - *Are both final and draft copies available?*
 - *Are contact names available in a list by source/sector?*

Current Inventory:

- *Who has received data or documents that will be used to compile the next inventory?*

- *How are the data stored?*
- *Where are the data stored?*
- *Are they stored electronically or in hardcopy? In both formats?*
- *How are the files named?*
- *How are the names/files changed to reflect updates?*
- *Who is keeping the following templates, and where are they stored?*
 - *Key Source Category Analysis Template*
 - *Institutional Arrangements Template*
 - *Source-by-Source (SBS) Template*
 - *QA/QC Measures Template*
 - *Archiving (Procedures) Template*
 - *National Inventory Improvement Plan Template]*

V.2 Proposed Improvements to the Archive System

The following sections describe the Archive System plan that [Country] plans to follow to ensure a high-quality national inventory based on an assessment of existing practices as described in the preceding section.

V.2.1 Archiving Coordinator Role and Responsibilities

The role of Archiving Coordinator will be designated at the beginning of the inventory process. The Archiving Coordinator is responsible for ensuring that all archiving procedures are performed for the inventory and its supporting documents and spreadsheets. The Archiving Coordinator is also responsible for clarifying who is responsible for carrying out archive procedures at various levels, as well as for ensuring that all team members know their archiving responsibilities. These responsibilities require that the Archiving Coordinator:

- Ensure that the archive procedure (See Section V.2.3, below) is carried out effectively.
- Ensure that copies of all new data sources and referenced documents are properly archived.
- Create a checklist of archiving procedures for team members to follow (See Section V.2.4, below).
- Determine archiving tasks and assign tasks to staff (See Table V.1, below).
- Serve as the keeper of the permanent archive, and respond to future requests to view archive materials.

This task will be the general responsibility of [the Inventory Coordinator, who is in charge of compiling the National Communications for [Country]. He/She is with X organization (e.g., Ministry, University, etc.).]

V.2.2 Source Leads: Roles and Responsibilities

The archiving responsibilities of the Source Leads (staff member responsible for developing GHG estimates for particular sectors) will also be designated at the beginning of the inventory process. These responsibilities include the following:

[List the proposed archiving responsibilities of each Source Lead, which may include:

- *Any data and references that the Source Leads are responsible for maintaining.*
- *Any drafts that the Source Leads are responsible for maintaining. For example, all versions of a document so as to be able to retrace revisions, data choices, etc.*
- *Maintaining the SBS template as an archive checklist, and ensuring that all references listed within the template are delivered to the Archiving Coordinator.]*

V.2.3 Proposed Archive Procedures

It is essential to outline each aspect of the archiving process so that these procedures can be effectively implemented. The Archiving Coordinator for [Country] will develop an archive plan that takes into account the following:

[Modify the following list according to proposed procedures.]

- **Management of Files.**
 - Save files with IPCC source name and year, and use version notation to track files. For example, use a source-year-version naming convention such as "N2O soils 2000.v1.xls" or "KEY-CO2 stat combus-2000.v1.xls."
 - Clearly establish and communicate the file management procedures and naming conventions.
- **Storage Mechanisms.** Archived inventory files are stored in [insert location(s) of paper and electronic files here].
 - The master copies of the archive files are kept in [insert location of master versions of paper and electronic files] by [insert name of person(s) in charge of master files].
 - The duplicate copies of the archive files are kept in [insert location, address, etc.].
- **Document Retention.** Source documents or references used to create the inventory will be collected and provided to the Archiving Coordinator.

These documents should include [\[edit as appropriate\]](#):

- All new source documents for the current year's inventory records file. (Typically, the files retained in storage from any given inventory year are known as the inventory archive.) The Archiving Coordinator is responsible for reviewing the references cited in the inventory and collecting all new documents. It is not necessary to include duplicate copies of references that are already in the records file from the previous inventory year.
- Draft versions (either electronic or paper) used for major internal (and external) peer reviews, as well as the final submitted versions of the inventory.
- Final version of the National Systems Report.
- Documents created to address comments received during any official review periods (or from expert reviews). These documents typically include both comments received verbatim, as well as the response and subsequent actions taken by the inventory staff.
- Updated SBS templates, which should be used to list and check references to be archived.

[\[List any additional document types.\]](#)

All archive materials should be duplicated (two copies of each document), catalogued using a numerical system, and placed in the archive file. A list describing the contents of the archive should be placed at the front. The Archiving Coordinator will choose a centralized and secure location for the placement of the physical and electronic archive.

[There are several types of numerical systems that can be used to catalogue archive items. One of these systems involves cataloguing by sector. For example, documents related to the first new source in the energy sector would be labeled "E-1-doc," the second source "E-2-doc," etc. The sources for waste would be "W-1-doc," "W-2-doc," etc. Dates should also be included in the labels for proper version control.]

[\[List any additional document retention procedures.\]](#)

- **Data Retention.** Spreadsheets and other electronic files used to create inventory estimates should be provided to the Archiving Coordinator. The following are essential components of the archive:
 - Data spreadsheets and other electronic files for every sector and source used to create inventory estimates.
 - QA/QC plan with completed checklists.
 - Key category analysis spreadsheets.

- Internal and external review comments and responses, if kept electronically.
- Latest draft and final electronic versions of the inventory document (for use as a starting point to update the inventory in the future).

[List any additional components of the data retention archive.]

The files listed above are most easily archived by saving to a CD-ROM disk or other durable media, and should be given to the Archiving Coordinator. If it is not possible to store the data archive in electronic format, files should be printed, catalogued, and placed in the inventory archive. The contents of the CD-ROM disc should be clearly labeled for easy reference.

[There are several types of numerical systems that can be used to catalogue archive items. One of these systems involves cataloguing by sector. For example, the data related to the first new source in the energy sector would be labeled "E-1-dat," the second source "E-2-dat," etc. The sources for waste would be "W-1-dat," "W-2-dat," etc. Dates should also be included in the labels for proper version control.]

V.2.4 Overall Checklist

To ensure a successful archiving system, the Archiving Coordinator should use a comprehensive checklist. Checklists help to ensure that all archiving procedures occur in a timely and complete manner. [Country] has developed the preliminary checklist below.

The final Archiving Task List and Schedule will show all major archiving tasks, corresponding task leaders, and the due dates which must be met. The Archiving Coordinator will ensure that all tasks are outlined prior to the start of any archive procedure. The Archiving Coordinator is also responsible for assigning task leaders to accomplish each archive task prior to the due date. Staffing for each task and date due will be completed by the Archiving Coordinator at the beginning of the inventory process. Below is the preliminary archiving checklist.

[The checklist below contains a list of proposed actions. Edit this list according to your country's circumstances and objectives. The "date due" column need not be completed for the national systems report. When using the checklist below at the beginning of the next inventory cycle, develop due dates in accordance with the "Inventory Cycle" proposed in the Institutional Arrangements Template. Ideally, archive material should be collected when the material is first used for the inventory, so as to avoid searching for materials at a later date.]

[Review Table V.1 carefully. As noted above, edit the tasks and responsibilities so that they accurately reflect those in your country's inventory system.]

Table V.1: Archive Tasks, Responsibilities, and Schedule for [Country]

Subtask	Date Due	Task Completed (Yes or No)
Archiving Coordinator		
Create official archive by placing all paper copies with index in centrally located filing cabinet.		
Communicate archiving plan with all those working on inventory, and set deadlines.		
Collect copies of all source references.		
Collect copies of draft and final versions of inventory document.		
Collect copies of comment response documents from each source lead.		
Catalogue all documents (references and comments) using a unique tracking number and table of contents or index.		
Request from those working on inventory any references missing from archive. Send reminders as needed.		
Compile electronic versions of spreadsheets used to estimate emissions by sector (create draft estimates, under review, and final versions folders to track progress and changes).		
Compile electronic versions of draft and final versions of inventory document. Create draft version and final version folders to track versions by date.		
Compile electronic versions of Key Source Category analyses. (Some files will be duplicated from the previous subtask.)		
Compile electronic versions of QA/QC checks.		
Save all electronic files on archive CD-ROM.		
Ensure all paper materials are present in official archive by reviewing contents against table of contents in file drawer.		
Ensure all electronic files listed above are contained on CD-ROM or other media, and that the media are placed with other official archive materials.		
Distribute electronic files at start of next inventory update.		
[List additional tasks]		
Source Lead		
Send electronic versions of spreadsheets used to estimate emissions to Inventory Coordinator (using naming convention).		
Send final text for sector or source category versions of inventory document to Inventory Coordinator.		
Create index of documents and files for electronic and hardcopy storage (have draft and final versions folders).		
Compile and send electronic versions of any Key Source Category analyses and documents to Inventory Coordinator (add "key" to naming convention).		
Send summary or list of QA/QC steps and corrective actions (by source category) to Inventory Coordinator.		
Save all final electronic files on archive CD-ROM. Label as "FINAL" with name of source/sector, date, and contact information, and send copy to Inventory Coordinator.		
[List additional tasks]		